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I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail to: Mail Stop PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 18, 2003.

Signed: \_\_\_\_\_

Kimberly Melvin

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

HLAVKA, Edwin J. et al.

Application No.: Unassigned

Filed: Herewith

For: METHOD AND APPARATUS FOR  
CATHETER-BASED ANNULOPLASTY

Atty. Docket No.: HLAVP001D1

Examiner: Unassigned

Group: Unassigned

Date: July 18, 2003

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§1.56 AND 1.97(c)**

Mail Stop PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

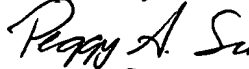
Dear Sir:

The references listed in the attached PTO Form 1449 may be material to examination of the above-identified patent application. Applicants submit the list of these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56 and 1.97. The Examiner is requested to make these references of official record in this application. The above-identified application is a Divisional of prior application U.S. Patent Application No. 09/841,968. This prior application is being relied upon for an earlier filing date under 35 U.S.C. § 120. Because the listed references were either cited by the PTO, or submitted to the PTO in the prior application, under 37 CFR § 1.98(d) Applicants submit that copies need not be provided.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art.

This Information Disclosure Statement is being filed within three (3) months of the filing date of the above-referenced application. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement. However, if it is determined that any fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-1652 (Order No. HLAVP001D1).

Respectfully submitted,



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<b>Form 1449 (Modified)</b>  <b>Information Disclosure Statement By Applicant</b> (Use Several Sheets if Necessary)	Atty Docket No.	HLAVP001D1
	Application No.:	Unassigned
	Inventor	E. Hlavka et al.
	Group	Unassigned
	Filing Date	Herewith

**U.S. Patent Documents**

Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub- Class	Filing Date
		4,042,979	8/23/77	Angell	3	1.5	7/12/76
		4,055,861	11/1/77	Carpentier et al.	3	1.5	4/9/76
		4,489,446	12/25/84	Reed	3	1.5	7/14/82
		4,917,698	4/17/90	Carpentier et al.	623	2	12/22/88
		5,041,130	8/20/1991	Cosgrove et al.	623	2	
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		5,104,407	4/14/92	Lam et al.	623	2	9/20/90
		5,201,880	4/13/93	Wright et al.	623	2	1/27/92
		5,306,234	4/26/1994	Johnson	604	49	
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		5,360,444	11/1/94	Kusuhara	623	2	12/9/93
		5,450,860	9/19/95	O'Connor	128	898	8/31/93
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		5,593,424	1/14/97	Northrup	606	232	8/10/94
		5,607,471	3/4/97	Seguin et al.	623	2	8/21/95
		5,640,955	6/24/97	Ockuly et al.	128	642	2/14/95
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		5,888,240	3/30/99	Carpentier et al.	623	2	12/3/96
		5,928,224	7/27/1999	Laufer	606	27	
		6,102,945	8/15/2000	Campbell	623	2.37	10/16/98
		6,165,183	12/26/2000	Kuehn et al.	606	139	7/15/98
		6,210,432	4/3/2001	Solem et al.	623	1.15	6/30/99
		6,267,781	7/31/01	Tu	607	113	10/9/99
		6,269,819	8/7/2001	Oz et al.	128	898	
		6,306,133	10/23/01	Tu et al.	606	41	10/2/99
		6,312,447	11/6/01	Grimes	606	219	10/13/99

**Foreign Patent or Published Foreign Patent Application**

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub-class	Translation	
							Yes	No
	U	WO 99/00059	1/7/99	WO				
	V	WO 00/03759	1/27/00	WO				
	K	WO 00/60995	10/19/2000	WO				

**Other Documents**

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
		Zipes, Douglas P. MD, "Ablation of Free Wall Accessory Pathways" 1994 Catheter Ablation of Arrhythmias
		<a href="http://medtronic.com/cardiac/heartvalves/duran_band/">http://medtronic.com/cardiac/heartvalves/duran_band/</a>
		Maisano, Francesco et al., "The Double-Orifice Technique as a Standardized Approach to Treat Mitral Regurgitation Due to Severe Myxomatous Disease: Surgical Technique"
		"Anatomical Landscape of Heartport Technology", Heartport Common Stock Prospectus, April 25, 1996, Cardiology Roundtable interviews
		<a href="http://www.hsforum.com/vol2/issue2/1999-4963figures.html">http://www.hsforum.com/vol2/issue2/1999-4963figures.html</a>
		Nagy, Zsolt et al., "Mitral Annuloplasty with a Suture Technique" European Journal of Cardio-Thoracic Surgery 18 (2000) 739-740
		Oz et al., U.S. Patent Application Pub. No. 2001/0005787 entitled, "Method and Apparatus for Circulatory Valve Repair".
		Grimes, U.S. Patent Application Pub. No. 2002/0026216 entitled, "Devices and Methods for Percutaneous Mitral Valve Repair."
		Goldfarb et al., U.S. Patent Application Pub. No. 2002/0013571 entitled, "Methods and Device for Capturing and Fixing Leaflets in Valve Repair".
		Ockuly et al., U.S. Patent Application Publication No. 2002/0026198 entitled, "Guiding Introducer for Use in the Treatment of Accessory Pathways Around the Mitral Valve Using a Retrograde Approach".
		Liddicoat et al., U.S. Patent Application Pub. No. 2002/0042621 entitled, "Automated Annular Plication for Mitral Valve Repair"
		Morales, David L.S. et al., "Development of an Off Bypass Mitral Valve Repair" Department of Surgery, Columbia University, College of Physicians and Surgeons, New York, NY
Examiner		Date Considered

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.